



COMPLIANCE RETURN FORM

ELECTRONIC CERTIFICATION SERVICE PROVIDER (E-CSP)

PURSUANT TO THE PROVISIONS OF THE KENYA INFORMATION AND COMMUNICATIONS ACT 1998, KENYA COMMUNICATIONS REGULATION, THE E-CSP LICENSE CONDITIONS AND E-CSP TECHNICAL REQUIREMENTS

Please note that the latest version of this form must be downloaded from the Authority's website at the end of each quarter^{SEP} in order to capture any official amendments

1. GENERAL INFORMATION**1.1 Licence Details**

Name of Licensee (Company Name): _____

Name of Foreign E-CSP (if applicable) : _____

License No: _____

Other Licenses held: _____

1.2 Period under review (Tick against appropriate quarter)

FINANCIAL YEAR _____ (based on Government of Kenya Financial year e.g., 2021/2022)

Quarter 1 (1 st July – 30 th Sep)	Quarter 2 (1 st Oct – 31 st Dec)	Quarter 3 (1 st Jan – 31 st Mar)	Quarter 4 (1 st Apr – 30 th Jun)

1.3 Address**1. Physical Address:**

Town _____ Street/Road _____

Floor No _____ Room No _____

Name of Building _____

2. Postal Address:

P. O. Box _____ Postal Code _____

Post Office Town _____

3. Phone Contact:

Tel. No. _____

Mobile No. _____ Other Tel. Nos. _____

4. Email and Web Address:

Email address: _____

Web Address: _____

Please note that all the address information requested must be provided above whether or not there were changes during the quarter.

1.4 Contact details

Name of Head Of Organization _____

Title of Head Of Organization _____

Name of contact person: _____

Title of Contact Person: _____

Telephone: _____ Email: _____

Signature: _____ Date _____

Did any of the address information change during the quarter? (Tick as appropriate) Yes No

(If Yes, attach a notification letter on the same.)

1.5 OPERATING DETAILS (to be filed at the end of your financial year)

a) SHAREHOLDING INFORMATION

Please attach a copy of the current certificate of shareholding/ CR12 (Not more than 6 month old).

b) FINANCIAL DATA:

Specify the start and end dates of your firm's financial year below.

Financial Year Start Date: _____ End Date: _____

Please attach the following;

- I. A copy of your Annual Audited Accounts for the preceding year.
- II. A valid tax compliance certificate.

c) TARRIFS (Please attach all the tariffs for services offered under this license)

d) STAFF (Indicate staff directly engaged on licensed services)

Staff category		Number of Staff			
		Local (Kenyan Citizens)		Foreign Nationals	
		Male	Female	Male	Female
Technical	Permanent				
	Contract				
	Temporary				
Non-Technical	Permanent				
	Contract				
	Temporary				
Total					

PART A: QUARTERLY REPORTING SECTION

(Information to be submitted within 15 days after the end of every Quarter)

2. ACCREDITATION and RECOGNITION FOR THE ECSP

No.	Item	Brief Description
	Date accredited	
	Accreditation certificate number	
	Date of Recognition	
	Recognition certificate number	
	Security Management system	
	Risk Management System	
	Business Continuity Planning	

3. TECHNICAL REQUIREMENTS

Please describe the systems deployed)

Equipment	Capacity	Date of accreditation	Region	Brief Description

4. INCIDENT MANAGEMENT

Equipment	Capacity	Date of accreditation	Region	Brief Description

5. RESOLUTION OF CUSTOMER / CONSUMER ISSUES (attach CRM system output)

Complaint Type	Number of Complaints					
	Consumer Obligations		Subscriber Obligations		Relying Party Obligations	
	Received	Resolved	Received	Resolved	Received	Resolved
Network Faults						
Poor Service Reception						
Disconnection						
Billing						
Service Interruption						
Interconnection						
Others (Please Specify below)						
Total complaints						
CRM Information						
Type Of CRM						
Details of CRM						

Indicate type and details of the Customer Relations Management - CRM System used.

PART B: ANNUAL REPORTING SECTION

(Information to be submitted within 15 days at the end of the Quarter ending 30th June)

1. CERTIFICATE PRACTICE STATEMENT AND CERTIFICATE POLICIES

1.1 Certificate Attributes

item	Details	Status
Registration process		
Generation Process		
Issuance Process		
Suspension Process		
Replacement Process		
Revocation Process		
Archival Process		

(Please provide data in spatial or viable format)

1.2 Audit Trails

No	Trail level			Comment	status
	Item	Target	Actual		
1	Key Generation				
2	Key Distribution				
3	Key Storage				
4	Key Usage				
5	Key Backups				
6	Key Change				
7	Key Termination				
8	Key Compromise				
9	Key Archival				

1.3 System Controls

No	Item			
1.	Physical Security			
2.	General security controls			
3.	Change and Configuration management			
4.	Network Security			
5.	Application Integration Controls			
6.	Redundancy and recovery measures			
	Total			

a) ENVIRONMENTAL SUSTAINABILITY COMPLIANCE

Reporting on Environmental Sustainability Initiatives

7.1. Provide information on initiatives you are undertaking to establish channels of collecting both consumer and your own electronic waste (e-waste) at the end of life-cycle (please detail your take back mechanisms);

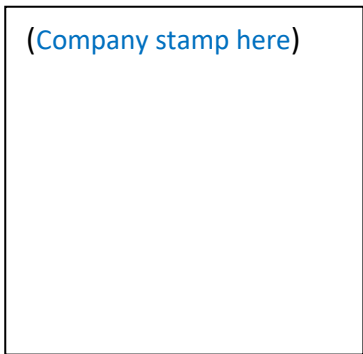
7.2. Provide information on initiatives that you are undertaking in the operations to reduce the carbon footprint/negative environmental impact;

7.3. Provide information on the current status of adherence to the Environmental Management and Coordination Act, EMCA on Waste Management.

b) COMMENTS/ SUGGESTIONS

Please share any challenges faced and/or make suggestions to improve the regulatory environment.

Signed.....
Name.....
Title.....
Date



NB:
*a) Where Nil returns are provided an explanation **MUST** be provided under the Comments/Suggestions section.*
b) The returns will only be accepted if the form is the most up to date as posted on the CA website. Always download the forms for every submission since reviews are made often to ensure responsiveness.

THANK YOU FOR COMPLETING THIS FORM

FOR OFFICIAL USE ONLY – DO NOT FILL BELOW THIS LINE

These returns have been :)

	Checked By:	Verified by:	Approved <input type="checkbox"/> Rejected <input type="checkbox"/> (Tick as appropriate)
Name			
Title			
Signature			
Date			

N/B A COMPLIANCE CERTIFICATE WILL NOT BE ISSUED IF THE COMPLIANCE RETURNS ARE SUBMITTED LATE OR REJECTED BY THE AUTHORITY